

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/23/2018 through 9/29/2018**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Registration Filings: 0				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
SIERRA INCOME CORP	NEW YORK, NY	9/24/2018	848612-08	Not Disallowed
SPENDINDIE INC	JONESTOWN, TX	9/24/2018	848614-08	Not Disallowed
Number of Exemption Filings: 2				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Fidelity Salem Street Trust Fidelity SAI Municipal Income Fund Fidelity SAI Municipal Income Fund	Boston, MA	9/28/2018	848955-03	Filed
Fidelity Salem Street Trust Fidelity SAI Tax-Free Bond Fund Fidelity SAI Tax-Free Bond Fund	Boston, MA	9/28/2018	848956-03	Filed
Manager Directed Portfolios Argent Small Cap Fund Institutional Shares	MILWAUKEE, WI	9/28/2018	848963-03	Filed
Manager Directed Portfolios iM Dolan McEniry Corporate Bond Fund Institutional Shares	MILWAUKEE, WI	9/28/2018	848962-03	Filed
Nationwide Mutual Funds Nationwide Dynamic U.S. Growth Fund Eagle Class	MILWAUKEE, WI	9/28/2018	848964-03	Filed
AB MUNICIPAL INCOME FUND INC AB HIGH INCOME MUNICIPAL PORTFOLIO CLASS Z	NEW YORK, NY	9/26/2018	848484-03	Filed
JPMORGAN TR 2 JPMORGAN LARGE CAP VALUE FUND CLASS R3 SHARES	NEW YORK, NY	9/26/2018	848481-03	Filed
JPMORGAN TR 2 JPMORGAN LARGE CAP VALUE FUND CLASS R4 SHARES	NEW YORK, NY	9/26/2018	848482-03	Filed

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Firm Name	Location	Date Received	File Number	Status
JPMORGAN TR 2 JPMORGAN MARKET EXPANSION ENHANCED INDEX FUND CLASS R6 SHARES	NEW YORK, NY	9/26/2018	848483-03	Filed
JPMORGAN TR 2 JPMORGAN SHORT INTERMEDIATE MUNICIPAL BOND FUND CLASS R6 SHARES	NEW YORK, NY	9/26/2018	848476-03	Filed
JPMORGAN TR 2 JPMORGAN TAX FREE BOND FUND CLASS R6 SHARES	NEW YORK, NY	9/26/2018	848477-03	Filed
JPMORGAN TR 1 JPMORGAN CA TAX FREE BOND FUND CLASS R6 SHARES	NEW YORK, NY	9/26/2018	848474-03	Filed
JPMORGAN TR 1 JPMORGAN EQUITY FOCUS FUND CLASS R6 SHARES	NEW YORK, NY	9/26/2018	848480-03	Filed
JPMORGAN TR 1 JPMORGAN EUROPE DYNAMIC FUND CLASS R6 SHARES	NEW YORK, NY	9/26/2018	848479-03	Filed
JPMORGAN TR 1 JPMORGAN GLOBAL ALLOCATION FUND CLASS R3 SHARES	NEW YORK, NY	9/26/2018	848471-03	Filed
JPMORGAN TR 1 JPMORGAN GLOBAL ALLOCATION FUND CLASS R4 SHARES	NEW YORK, NY	9/26/2018	848472-03	Filed
JPMORGAN TR 1 JPMORGAN GLOBAL ALLOCATION FUND CLASS R5 SHARES	NEW YORK, NY	9/26/2018	848473-03	Filed
JPMORGAN TR 1 JPMORGAN NY TAX FREE BOND FUND CLASS R6 SHARES	NEW YORK, NY	9/26/2018	848475-03	Filed
JPMORGAN TR 1 JPMORGAN TAX AWARE EQUITY FUND CLASS R6 SHARES	NEW YORK, NY	9/26/2018	848478-03	Filed
World Funds Trust CBOE Vest S&P 500 Dividend Aristocrats Target Income Fund Institutional Class Shares	Richmond, VA	9/26/2018	848953-03	Filed
ADVISORS INNER CIRCLE FUND 3 INVESTEC GLOBAL FRANCHISE FUND A SHARES	OAKS, PA	9/25/2018	848485-03	Filed
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO CONSERVATIVE MUNICIPAL INCOME FUND CLASS A SHARES	HOUSTON, TX	9/25/2018	848486-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO CONSERVATIVE MUNICIPAL INCOME FUND CLASS R5 SHARES	HOUSTON, TX	9/25/2018	848488-03	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO CONSERVATIVE MUNICIPAL INCOME FUND CLASS R6 SHARES	HOUSTON, TX	9/25/2018	848487-03	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO CONSERVATIVE MUNICIPAL INCOME FUND CLASS Y SHARES	HOUSTON, TX	9/25/2018	848489-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1806 MLP & ENERGY FUNDS PORTFOLIO SERIES 23	CHICAGO, IL	9/25/2018	848559-05	Filed
Investors Cash Trust DWS ESG Liquidity Fund Institutional Reserved Shares	Chicago, IL	9/25/2018	848952-03	Filed
VOYA SEPARATE PORTFOLIOS TR VOYA EMERGING MARKETS LOCAL CURRENCY DEBT FUND CLASS I SHARES	SCOTTSDALE, AZ	9/25/2018	848490-03	Withdrawn
FT 7576 RICHARD BERNSTEIN ADVISORS GLOBAL DIVIDEND KINGS SERIES 28	WHEATON, IL	9/24/2018	848554-05	Filed
FT 7577 SABRIENT SMALL CAP GROWTH PORTFOLIO SERIES 20	WHEATON, IL	9/24/2018	848556-05	Filed
FT 7578 STRATEGIC INTERNATIONAL OPPORTUNITY PORTFOLIO SERIES 6	WHEATON, IL	9/24/2018	848546-05	Filed
FT 7589 MULTI SECTOR EQUITY & ETF PORTFOLIO SEPTEMBER 2018 SERIES	WHEATON, IL	9/24/2018	848555-05	Filed
FT 7590 COMMUNICATION SERVICES OPPORTUNITY PORTFOLIO SERIES	WHEATON, IL	9/24/2018	848553-05	Filed
FT 7598 1ST TR ETF ALLOCATION PORTFOLIO SERIES 26	WHEATON, IL	9/24/2018	848548-05	Filed

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Firm Name	Location	Date Received	File Number	Status
FT 7599 HIGH INCOME PORTFOLIO SERIES 2	WHEATON, IL	9/24/2018	848541-05	Filed
FT 7613 SENIOR LOAN & DIVIDEND GROWERS PORTFOLIO SERIES 20	WHEATON, IL	9/24/2018	848545-05	Filed
FT 7614 E COMMERCE OPPORTUNITY PORTFOLIO SERIES 5	WHEATON, IL	9/24/2018	848547-05	Filed
FT 7615 GLOBAL BOND INCOME CLOSED END PORTFOLIO SERIES 30	WHEATON, IL	9/24/2018	848544-05	Filed
FT 7616 INNOVATIVE TRANSACTION & PROCESS PORTFOLIO SERIES 3	WHEATON, IL	9/24/2018	848543-05	Filed
FT 7617 NASDAQ DIVIDEND ACHIEVERS 25 PORTFOLIO SERIES 13	WHEATON, IL	9/24/2018	848542-05	Filed
FT 7618 DIVERSIFIED HIGH INCOME CLOSED END PORTFOLIO SERIES 34	WHEATON, IL	9/24/2018	848552-05	Filed
FT 7639 INTEREST RATE HEDGE OPPORTUNITY PORTFOLIO SERIES 7	WHEATON, IL	9/24/2018	848549-05	Filed
FT 7640 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 84	WHEATON, IL	9/24/2018	848550-05	Filed
FT 7656 STONEBRIDGE PREFERRED INCOME PORTFOLIO SERIES 20	WHEATON, IL	9/24/2018	848551-05	Filed
FT 7660 SENIOR LOAN SELECT CLOSED END PORTFOLIO SERIES 34	WHEATON, IL	9/24/2018	848557-05	Filed
GREAT WEST FUNDS INC GREAT WEST CORE STRATEGIES FLEXIBLE BOND FUND CLASS L	GREENWOOD VILLAGE, CO	9/24/2018	848357-03	Filed
GREAT WEST FUNDS INC GREAT WEST CORE STRATEGIES INFLATION PROTECTED SECURITIES FUND CLASS L	GREENWOOD VILLAGE, CO	9/24/2018	848361-03	Filed
GREAT WEST FUNDS INC GREAT WEST CORE STRATEGIES INTERNATIONAL EQUITY FUND CLASS L	GREENWOOD VILLAGE, CO	9/24/2018	848355-03	Filed

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Firm Name	Location	Date Received	File Number	Status
GREAT WEST FUNDS INC GREAT WEST CORE STRATEGIES SHORT DURATION BOND FUND CLASS L	GREENWOOD VILLAGE, CO	9/24/2018	848359-03	Filed
GREAT WEST FUNDS INC GREAT WEST CORE STRATEGIES US EQUITY FUND CLASS L	GREENWOOD VILLAGE, CO	9/24/2018	848353-03	Filed
GREAT WEST FUNDS INC GREAT WEST INTERNATIONAL INDEX FUND CLASS L	GREENWOOD VILLAGE, CO	9/24/2018	848356-03	Filed
GREAT WEST FUNDS INC GREAT WEST MID CAP VALUE FUND CLASS L	GREENWOOD VILLAGE, CO	9/24/2018	848358-03	Filed
GREAT WEST FUNDS INC GREAT WEST MULTI SECTOR BOND FUND CLASS L	GREENWOOD VILLAGE, CO	9/24/2018	848354-03	Filed
GREAT WEST FUNDS INC GREAT WEST REAL ESTATE INDEX FUND CLASS L	GREENWOOD VILLAGE, CO	9/24/2018	848360-03	Filed
TETON WESTWOOD FUNDS TETON CONVERTIBLE SECURITIES FUND CLASS I SHARES	RYE, NY	9/24/2018	848362-03	Filed
Number of Investment Company Filings: 55				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMC Fund 12, LLC	Northridge, CA	9/28/2018	848932-07	Filed
BC Exchange Vasco DST	Denver, CO	9/28/2018	848930-07	Filed
Belgard Capital Fund LLC	Boston, MA	9/28/2018	848919-07	Filed
Big Causeway LLC	Boston, MA	9/28/2018	848931-07	Filed
Bion Environmental Technologies Inc.	Crestone, CO	9/28/2018	848922-07	Filed
Blockarrow, LLC	Deerfield, IL	9/28/2018	848933-07	Filed
Burlywood, Inc.	Longmont, CO	9/28/2018	848912-07	Filed
Dream City Music Inc.	Milwaukee, WI	9/28/2018	848911-07	Filed
FSC Healthcare IV DST	Lake Como, NJ	9/28/2018	848926-07	Filed
GK Secured Income V, LLC	Barrington, IL	9/28/2018	848918-07	Filed

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Firm Name	Location	Date Received	File Number	Status
Harley Rucker Investors, LLC	Atlanta, GA	9/28/2018	848915-07	Filed
Heartland Equity Partners II, LLC	Brooklyn Center, MN	9/28/2018	848925-07	Filed
Midgard Self Storage Key West FL, LLC	Roswell, GA	9/28/2018	848916-07	Filed
MVP LS Fund LXXIV LLC	Austin, TX	9/28/2018	848934-07	Filed
Nevada Exploration Inc	Vancouver, BC	9/28/2018	848921-07	Filed
Nosara OM Co-Invest I, L.P.	Wilmington, DE	9/28/2018	848909-07	Filed
Owl Ventures III, L.P.	San Francisco, CA	9/28/2018	848917-07	Filed
PostProcess Technologies, Inc.	Buffalo, NY	9/28/2018	848914-07	Filed
RS Lending, Inc.	San Francisco, CA	9/28/2018	848929-07	Filed
Summit Ag Opportunities I, LLC	Alden, IA	9/28/2018	848924-07	Filed
Tyree & D'Angelo Partners Fund II-A LP	Chicago, IL	9/28/2018	848920-07	Filed
USED C 2018 A Drilling Fund LP	Getzville, NY	9/28/2018	848910-07	Filed
Vedantra Pharmaceuticals, Inc.	Cambridge, MA	9/28/2018	848928-07	Filed
Velocity 4th Ave, LLC	Destin, FL	9/28/2018	848913-07	Filed
Vista Equity Partners Fund VII, L.P.	San Francisco, CA	9/28/2018	848927-07	Filed
Waxahachie SPE, LLC	Austin, TX	9/28/2018	848923-07	Filed
AXONIC RESIDENTIAL ASSETS FUND 4 LP	NEW YORK, NY	9/27/2018	848645-07	Filed
HOME PLATE CENTER LP	SEATTLE, WA	9/24/2018	848613-07	Filed
PRECURSOR VENTURES 2 LP	SAN FRANCISCO, CA	9/24/2018	848615-07	Filed
Number of Regulation D Notice Filings: 29				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Spherion Staffing, LLC / Spherion	Atlanta, GA	9/29/2018	620132	Registered
Qualicare of America, Inc. / Qualicare	Toronto, ON	9/28/2018	620126	Registered
Quiz Holdings, LLC / Quiznos and Quiznos Sub	Denver, CO	9/28/2018	620125	Registered
IHG Franchising, LLC / Kimpton Hotels & Restaurants	Atlanta, GA	9/28/2018	620124	Registered
RealtyScape Franchising LLC / LakePlace.com; LakePlace.com Realty	Bloomington, MN	9/28/2018	620123	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
TCBY Systems, LLC / TCBY	Broomfield, CO	9/27/2018	620122	Registered
Mrs. Fields Franchising, LLC / Mrs. Fields	Broomfield, CO	9/27/2018	620121	Registered
TCWW LLC / Tom and Chee	Cincinnati, OH	9/26/2018	620117	Registered
ADVANCED FRESH CONCEPTS FRANCHISE CORP / AFC, Advanced Fresh Concepts	RANCHO DOMINGUEZ, CA	9/25/2018	620116	Registered
Zoom Express Laundry, LLC / Zoom Express Laundry	Dallas, TX	9/25/2018	620115	Registered
MEDICAP PHARMACIES INCORPORATED / Medicap Pharmacy	Dublin, OH	9/25/2018	620114	Registered
MEDICINE SHOPPE INTERNATIONAL, INC. / The Medicine Shoppe, Medicine Shoppe	Dublin, OH	9/25/2018	620113	Registered
The Ten Spot Ltd. / The Ten Spot	Toronto, ON	9/25/2018	620111	Registered
Brinker International Payroll Company, L.P. / "Chili's" and Chili's Grill & Bar"	Dallas, TX	9/24/2018	620110	Registered
SB Franchisor LLC / Sweetberry Bowls	West New York, NJ	9/24/2018	620108	Registered
iCombat Franchising, LLC / iCombat	Waukesha, WI	9/24/2018	620105	Registered
Number of Franchise Filings: 16				